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BEFORE THE ARIZONA CORPORATION COMMISSION

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WILLIAM A. MUNDELL
CHAIRMAN
JIM IRVIN
COMMISSIONER
MARK SPITZER
COMMISSIONER

MAY 10 2001

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AZ CORP COMMISSION
DOCUMENT CONTROL

IN THE MATTER OF:

DOCKET NO. S-03403A-01-0000

STEPHEN MICHAEL JOHNSON
(CRD #721408)
d/b/a FERNDAL FINANCIAL GROUP
839 S. Westwood #245
Mesa, Arizona 85210

Respondent.

PROCEDURAL ORDER

BY THE COMMISSION:

On March 29, 2001, the Securities Division ("Division") of the Arizona Corporation Commission ("Commission") filed a Notice of Opportunity for Hearing Regarding Proposed Order to Cease and Desist, for Restitution, for Administrative Penalties, and for Other Affirmative Action ("Notice") against Stephen Michael Johnson (CRD #721408) d/b/a Ferndale Financial Group, ("Respondent") in which the Division alleged that Respondent has engaged in acts, practices, and transactions that constitute violations of the Arizona Securities Act ("Act").

On April 13, 2001 Respondent filed a request for hearing.

On April 24, 2001, the Commission, by Procedural Order, scheduled a pre-hearing conference for May 8, 2001 in this matter.

On May 8, 2001, the pre-hearing was held as scheduled. Respondent appeared without the assistance of counsel. The Division appeared with counsel. Following discussions between the parties, it was agreed that a hearing should be scheduled on the issues raised in the Notice on July 23, 2001. In the interim, the parties agreed to attempt to resolve the issues raised in the Notice.

Accordingly, a hearing should be scheduled to address the issues raised in the Notice and the presentation of evidence.

IT IS THEREFORE ORDERED that a hearing on the above-captioned matter shall be held on July 23, 2001, at 9:00 a.m., at the Commission's offices, 1200 West Washington Street, Phoenix,

1 Arizona.

2 IT IS FURTHER ORDERED that the parties shall exchange witness lists and exhibits not
3 later than 10 days before the hearing and provide a copy of same to the presiding Administrative Law
4 Judge.

5 DATED this 10 day of May, 2001.

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PHILIP J. DION III
ADMINISTRATIVE LAW JUDGE

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11 Copies of the foregoing mailed/delivered
12 this 10 day of May, 2001 to:

13

14 Stephen Michael Johnson
15 d/b/a FERNDAL FINANCIAL GROUP
16 839 S. Westwood #245
17 Mesa, Arizona 85210

18

19 Robert A. Zumoff
20 Assistant Attorney General
21 ARIZONA ATTORNEY GENERAL'S OFFICE
22 1275 West Washington Street
23 Phoenix, Arizona 85007

24

25 W. Mark Sendrow, Director
26 Securities Division
27 ARIZONA CORPORATION COMMISSION
28 1300 West Washington Street
Phoenix, Arizona 85007

29

30 ARIZONA REPORTING SERVICE, INC.
31 2627 N. Third Street, Suite Three
32 Phoenix, Arizona 85004-1104

33

34 By: Debbi Person
35 Debbi Person
36 Secretary to Philip J. Dion, III

37

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